

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01600

SERIAL NO: 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	B1	4,674,044	6/1987	Kalmus, et al.			
	B2	5,347,452	9/1994	Bay, Jr.			
	B3	5,787,402	7/1998	Potter, et al.			
	B4	5,950,176	9/1999	Keiser, et al.			
	B5	6,014,643	1/2000	Minton			
	B6	6,016,483	1/2000	Rickard, et al.			
	C1	6,260,025	7/2001	Silverman, et al.			
	C2	6,006,206	12/1999	Smith, et al.			
	C3	5,987,432	11/1999	Zusman, et al.			

RECEIVED

APR 10 2002

Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JL	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2. ✓					
	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs. ✓					
	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2. ✓					
	AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock ✓					

EXAMINER: JL 21y

DATE CONSIDERED: 3/20/2004

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Form PTO-1449 (modified)
List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01600

SERIAL NO: 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	C4	5,966,531	10/1999	Skeen, et al.			
	C5	5,924,083	7/1999	Silverman, et al.			
	C6	5,924,082	7/1999	Silverman, et al.			
	C7	5,727,165	3/1998	Ordish, et al.			
	C8	5,195,031	3/1993	Ordish			
	C9	5,136,501	8/1992	Silverman, et al.			
	C10	5,077,665	12/1991	Silverman, et al.			
	C11	5,034,916	7/1991	Ordish			
	C12	5,003,473	3/1991	Richards			

RECEIVED

APR 10 2002

Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JL	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
JL	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

EXAMINER: *J. H. W. L.*

DATE CONSIDERED: 3/20/2006

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Form PTO-1449 (modified)
List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01600

SERIAL NO. 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	C15	4,750,135	6/1988	Boilen			
I	C16	4,745,559	5/1988	Willis, et al.			
I	C17	6,278,982	8/2001	Korhammer, et al.			

RECEIVED

APR 10 2002

Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER:

JL

DATE CONSIDERED:

3/20/2006

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01600

SERIAL NO: 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	D1	6,317,728 B1	11/13/01	Kane			
/	D2	5,819,238	10/06/98	Fernholz			
/	D3	5,640,505	06/17/97	Hearn et al.			

RECEIVED

NOV 26 2002

Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JL	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.					

RECEIVED

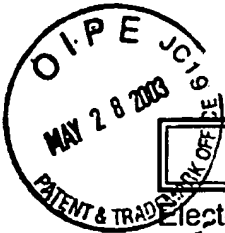
DEC 03 2002

GROUP 3600

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
Stylesheet Version v18.0

Title of
Invention

METHODS AND SYSTEMS FOR IMPLEMENTING A
FORWARD CONVERSION SECURITIES STRATEGY

Application Number: 09/885817
Confirmation Number: 4380
First Named Applicant: Shayne Young
Attorney Docket Number: 5226-01600
Art Unit: 2182
Search string: (6477580 or 6421653 or 6446871 or 6247000
or 6272474 or 6173270 or 6321212 or 4566066
or 6505174 or 6195647 or 5101353 or 4942616
or 5915209 or 5999918 or 6112189).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	6477580	2002-11-05	Bowman-Amuah			
<input checked="" type="checkbox"/>	2	6421653	2002-07-16	May			
<input checked="" type="checkbox"/>	3	6446871	2002-09-10	Buckley et al.			
<input checked="" type="checkbox"/>	4	6247000	2001-06-12	Hawkins et al.			
<input checked="" type="checkbox"/>	5	6272474	2001-08-07	Garcia			
<input checked="" type="checkbox"/>	6	6173270	2001-01-09	Cristofich et al.			
<input checked="" type="checkbox"/>	7	6321212	2001-11-20	Lange			
<input checked="" type="checkbox"/>	8	4566066	1986-01-21	Towers			
<input checked="" type="checkbox"/>	9	6505174	2003-01-07	Keiser et al.			
<input checked="" type="checkbox"/>	10	6195647	2001-02-27	Martyn et al.			
<input checked="" type="checkbox"/>	11	5101353	1992-03-31	Lupien et al.			
<input checked="" type="checkbox"/>	12	4942616	1990-07-17	Linstroth et al.			
<input checked="" type="checkbox"/>	13	5915209	1999-06-22	Lawrence			
<input checked="" type="checkbox"/>	14	5999918	1999-12-07	Williams et al.			
<input checked="" type="checkbox"/>	15	6112189	2000-08-29	Rickard et al.			

Signature

RECEIVED
MAY 30 2003
GROUP 3600

Examiner Name	Date
JH Hly	3/20/2006



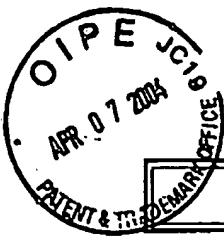
ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0


Title of Invention	METHODS AND SYSTEMS FOR IMPLEMENTING A FORWARD CONVERSION SECURITIES STRATEGY																																																												
<p>Application Number: 09/885817 Confirmation Number: 4380 First Named Applicant: Shayne Young Attorney Docket Number: 5226-01600 Art Unit: 2182 Search string: (5193056 or 4752877 or 6415267 or 6029146 or 5297031 or 6035287),pn.</p> <p>US Patent Documents</p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/></td><td>1</td><td>5193056</td><td>1993-03-09</td><td>Boes</td><td></td><td></td><td></td></tr><tr><td><input type="checkbox"/></td><td>2</td><td>4752877</td><td>1988-06-21</td><td>Roberts et al.</td><td></td><td></td><td></td></tr><tr><td><input type="checkbox"/></td><td>3</td><td>6415267</td><td>2002-07-02</td><td>Hagan</td><td></td><td></td><td></td></tr><tr><td><input type="checkbox"/></td><td>4</td><td>6029146</td><td>2000-02-22</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td><input type="checkbox"/></td><td>5</td><td>5297031</td><td>1994-03-22</td><td>Guterman et al.</td><td></td><td></td><td></td></tr><tr><td><input type="checkbox"/></td><td>6</td><td>6035287</td><td>2000-03-07</td><td>Stallaert et al.</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature</p> <table border="1"><thead><tr><th>Examiner Name</th><th>Date</th></tr></thead><tbody><tr><td><i>J. H. S.</i></td><td>3/20/2004</td></tr></tbody></table>		init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	<input checked="" type="checkbox"/>	1	5193056	1993-03-09	Boes				<input type="checkbox"/>	2	4752877	1988-06-21	Roberts et al.				<input type="checkbox"/>	3	6415267	2002-07-02	Hagan				<input type="checkbox"/>	4	6029146	2000-02-22	Hawkins et al.				<input type="checkbox"/>	5	5297031	1994-03-22	Guterman et al.				<input type="checkbox"/>	6	6035287	2000-03-07	Stallaert et al.				Examiner Name	Date	<i>J. H. S.</i>	3/20/2004
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass																																																						
<input checked="" type="checkbox"/>	1	5193056	1993-03-09	Boes																																																									
<input type="checkbox"/>	2	4752877	1988-06-21	Roberts et al.																																																									
<input type="checkbox"/>	3	6415267	2002-07-02	Hagan																																																									
<input type="checkbox"/>	4	6029146	2000-02-22	Hawkins et al.																																																									
<input type="checkbox"/>	5	5297031	1994-03-22	Guterman et al.																																																									
<input type="checkbox"/>	6	6035287	2000-03-07	Stallaert et al.																																																									
Examiner Name	Date																																																												
<i>J. H. S.</i>	3/20/2004																																																												


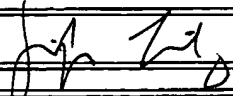
RECEIVED
JUL 11 2003
GROUP 3600



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
Stylesheet Version v18.0

Title of Invention	METHODS AND SYSTEMS FOR IMPLEMENTING A FORWARD CONVERSION SECURITIES STRATEGY							
Application Number: 09/885817								
Confirmation Number: 4380								
First Named Applicant: Shayne Young								
Attorney Docket Number: 5226-01600								
Art Unit: 2182								
Examiner: Unknown Unknown								
Search string: (5809483 or 5946666 or 6401105 or 6408282 or 6510419 or 20020188548 or 20020178099 or 20020194111 or 20030065598 or 20030083974 or 20030041006).pn.							RECEIVED APR 13 2004 GROUP 3600	
US Patent Documents								
Note: Applicant is not required to submit a paper copy of cited US Patent Documents								
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	
JL	1	5809483	1998-09-15	Broka et al.				
	2	5946666	1999-08-31	Nevo et al.				
	3	6401105	2002-06-04	Carlin et al.				
	4	6408282	2002-06-18	Buist				
	5	6510419	2003-01-21	Gatto				
US Published Applications								
Note: Applicant is not required to submit a paper copy of cited US Published Applications								
init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass	
JL	1	20020188548	2002-09-15	Bunda	A1			
	2	20020178099	2002-11-28	Young	A1			
	3	20020194111	2002-12-19	Young	A1			
	4	20030065598	2003-04-03	Bunda	A1			
	5	20030083974	2003-05-01	Bunda	A1			

	6	20030041006	2003-02-27	Bunda	A1
Signature					
Examiner Name			Date		
			320/2004		

DATE CONSIDERED: 3/20/2004

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.